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| FORM PTO-1390<br>(REV. 9-2001)  |  | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE |  | ATTORNEY'S DOCKET NUMBER<br><b>CMC-151</b>                          |  |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. 371  |  |   |  | U.S. APPLICATION NO. (If known, see 37 CFR 1.5)<br><b>10/030011</b> |  |
| INTERNATIONAL APPLICATION NO.<br><b>US00/11620</b>  |  | INTERNATIONAL FILING DATE<br><b>28 April 2000</b>       |  | PRIORITY DATE CLAIMED<br><b>30 April 1999</b>                       |  |
| TITLE OF INVENTION: <b>HEMOFILTRATION SYSTEM AND METHOD BASED ON MONITORED PATIENT PARAMETERS, SUPERVISORY CONTROL OF HEMOFILTRATION, AND ADAPTIVE CONTROL OF PUMPS (PERISTALTIC) FOR HEMOFILTRATION</b>  |  |   |  |   |  |
| APPLICANT(S) FOR DO/EO/US<br><b>John J. Bissler; Marios M. Polycarpou, Nat Hemasilpin and Efrain O. Morales</b>   |  |   |  |   |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |   |  |   |  |
| <p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p>c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>a. <input type="checkbox"/> is attached hereto.</p> <p>b. <input checked="" type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input checked="" type="checkbox"/> <del>Any</del> <b>unexecuted</b> oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p><b>Items 11 to 20 below concern document(s) or information included:</b></p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</p> <p>14. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input type="checkbox"/> Other items or information:</p> |  |   |  |   |  |

|  |  |                               |  |                          |  |
|--|--|-------------------------------|--|--------------------------|--|
| U.S. APPLICATION NO. (if known) <b>10/030011</b> |  | INTERNATIONAL APPLICATION NO. |  | ATTORNEY'S DOCKET NUMBER |  |
|--|--|-------------------------------|--|--------------------------|--|

|   |              |              |           |                                  |          |
|---|--------------|--------------|-----------|----------------------------------|----------|
| <p>21. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b></p> <p>Neither international preliminary examination fee (37 CFR 1.482)<br/>nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO<br/>and International Search Report not prepared by the EPO or JPO. . . . . \$1040.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to<br/>USPTO but International Search Report prepared by the EPO or JPO . . . . . \$890.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO<br/>but international search fee (37 CFR 1.445(a)(2)) paid to USPTO . . . . . \$740.00</p> <p>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br/>but all claims did not satisfy provisions of PCT Article 33(1)-(4) . . . . . \$710.00</p> <p>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br/>and all claims satisfied provisions of PCT Article 33(1)-(4) . . . . . \$100.00</p> <p style="text-align: center;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p> |              |              |           | <b>CALCULATIONS PTO USE ONLY</b> |          |
|   |              |              |           | \$                               | 890.00   |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30<br>months from the earliest claimed priority date (37 CFR 1.492(e)).   |              |              |           | \$                               | 130.00   |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA | RATE      | \$                               |          |
| Total claims  | - 20 =       |              | x \$18.00 | \$                               | 234.00   |
| Independent claims  | - 3 =        |              | x \$84.00 | \$                               | 420.00   |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |              |              |           | +                                | \$280.00 |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              |              |           | \$                               |          |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above<br>are reduced by 1/2.   |              |              |           | +                                |          |
| <b>SUBTOTAL =</b>   |              |              |           | \$                               | 1954.00  |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30<br>months from the earliest claimed priority date (37 CFR 1.492(f)).   |              |              |           | \$                               |          |
| <b>TOTAL NATIONAL FEE =</b>   |              |              |           | \$                               | 1954.00  |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be<br>accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +   |              |              |           | \$                               |          |
| <b>TOTAL FEES ENCLOSED =</b>  |              |              |           | \$                               | 1954.00  |
|   |              |              |           | Amount to be<br>refunded:        | \$       |
|   |              |              |           | charged:                         | \$       |

a. ☒ A check in the amount of \$ 1954.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 23-3000. A duplicate copy of this sheet is enclosed.

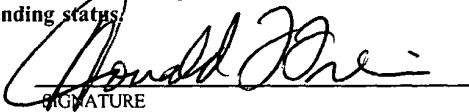
d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card  
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

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441 Vine Street  
Suite 2700 Carew Tower  
Cincinnati OH 45202

  
 SIGNATURE  
 Donald F. Frei  
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 21,190  
 REGISTRATION NUMBER

10/030011

531 Rec'd PC

29 OCT 2001

U.S. NATIONAL PHASE OF PCT/US00/11620

Serial No: not assigned yet  
Filed: October 29, 2001  
Applicant: John J. Bissler, et al.  
Title: HEMOFILTRATION SYSTEMS AND METHOD BASED ON  
MONITORED PATIENT PARAMETERS, SUPERVISORY CONTROL  
OF HEMOFILTRATION, AND ADAPTIVE CONTROL OF PUMPS  
(PERISTALTIC) FOR HEMOFILTRATION  
Art Unit: unknown  
Examiner: unknown  
Atty. Dkt.: CMC\151

Cincinnati OH 45202

October 29, 2001

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Assistant Commissioner for Patents  
Washington DC 20231

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Date of Deposit October 29, 2001

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH  
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ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED  
ABOVE AND IS ADDRESSED TO BOX PCT, ASSISTANT COMMISSIONER  
FOR PATENTS, WASHINGTON DC 20231.

Ryan Cummins

Name of Person Mailing Paper or Fee



Signature of Person Mailing Paper or Fee

**ENCLOSURES**

Transmittal Letter to the United States Designated/Elected Office Concerning  
a Filing Under 35 U.S.C. 371 - in duplicate  
Unexecuted Declaration  
\$1954.00 Check for Filing Fee  
Postcard